



PATENT  
0505-4006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2161

Examiner:

Serial No.: 09/801,495

Confirmation No.: 4755

Title: ROUTING CONTROL FOR ORDERS ELIGIBLE  
FOR MULTIPLE MARKETS

RECEIVED

SEP 18 2001

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

☒ before the mailing date of a first Office Action on the merits.

Respectfully submitted,

Date: September 14, 2001

260 West 52 St. Ste. 27B  
New York, NY 10019  
voice/fax 212 245-3940

Brenda Pomerance

Brenda Pomerance  
Reg. No. 36,894



2161 #4  
BT  
10-25-01  
PATENT  
0505-4006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2161

Examiner:

Serial No.: 09/801,495

Confirmation No.: 4755

Title: ROUTING CONTROL FOR ORDERS ELIGIBLE  
FOR MULTIPLE MARKETS

CERTIFICATE OF MAILING

RECEIVED

SEP 18 2001

Technology Center 2100

I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement
2. PTO Form 1449
3. Copies of 37 references
4. Return receipt postcard

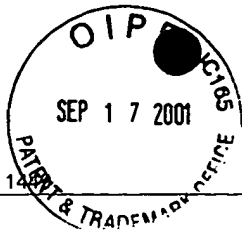
are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001

Brenda Pomerance  
Brenda Pomerance

CORRESPONDENCE ADDRESS:

Brenda Pomerance  
260 West 52 St. Ste. 27B  
New York, NY 10019  
212 245-3940



Substitute Form PTO 1482

<b>INFORMATION DISCLOSURE STATEMENT</b>	Application No.	09/801,495
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2161
	Examiner	TBA
Sheet 1 of 2		Atty. Docket No. 0505-4006

RECEIVED

SEP 18 2001

Technology Center 2100

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
	AA	6134535		Belzberg	10-17-2000	
	AB	6105005		Fuhrer	08-15-2000	
	AC	6092056		Tull, Jr. et al.	07-18-2000	
	AD	6035287		Stallaert et al.	03-07-2000	
	AE	6026383		Ausubel	02-15-2000	
	AF	6021398		Ausubel	02-01-2000	
	AG	6018722		Ray et al.	01-25-2000	
	AH	6016483		Rickard	01-18-2000	
	AI	6012046		Lupien	01-04-2000	
	AJ	5987435		Weiss	11-16-1999	
	AK	5978779		Stein et al.	11-02-1999	
	AL	5963923		Garber	10-05-1999	
	AM	5950177		Lupien et al.	09-07-1999	
	AN	5950176		Keiser	09-07-1999	
	AO	5946657		Tull, Jr.	08-31-1999	
	AP	5946666		Nevo et al.	08-31-1999	
	AQ	5941996		Smith	08-24-1999	
	AR	5315634		Tanaka et al.	05-24-1994	
	AS	5924082		Silverman	07-13-1999	
	AT	5826244		Huberman	10-20-1998	
	AU	5806048		Kiron	09-08-1998	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (√)
		Office	Number	Kind Code				
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--



<b>INFORMATION DISCLOSURE STATEMENT</b>	Application No.	09/801,495
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2161
	Examiner	TBA
Sheet 2 of 2	Atty. Docket No.	0505-4006

<b>OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (✓)
	CA	"AuctionBot", 9 pages from <a href="http://auction.eecs.umich.edu">http://auction.eecs.umich.edu</a> , printed March 30, 2000	
	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
	CG	TEWELES et al, "The Stock Market," Chapters 8 and 23	
	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
	CJ	PROPSON, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

**RECEIVED**  
 SEP 18 2001  
 Technology Center 2100